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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/557,334

04/24/2000

Glen K Okita

0600/96755

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06/06/2008

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EXAMINER

IBRAHIM, MOHAMED

ART UNIT

PAPER NUMBER

2144

MAIL DATE

DELIVERY MODE

06/06/2008

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 09/557,334	Applicant(s) OKITA ET AL.	
	Examiner MOHAMED IBRAHIM	Art Unit 2144	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 22 February 2008.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-3 and 5-25 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-3 and 5-25 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

Response to Amendment

Claim Objections

1. Claim 20 is objected to because of the following informalities: The claim includes the phrase, "to enable connection of data structure". As evident from claim 1, the phrase should read as "to enable correction of data structures". Appropriate correction is required.

Claim Rejections - 35 USC § 103

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains.

Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-3 and 5-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Flores et al (Flores), U S Patent No. 5734837 in view of Lynn et al. (Lynn), U S Patent No. 6606740.

Regarding claim 1, Flores discloses a method of adding a event source to a transaction processing system having a workflow server engine (see e.g. Flores, col. 1 lines 6-29; a system for defining and generating workflow events is provided) comprising): defining a

new event structure for the new event source in a workflow database (see e.g. Flores, fig. 6 item 51 and col. 4 lines 48-64; a database containing definitions for workflow events is provided); creating at least one executable function which creates a data structure that receives events coming from the new event source (see e.g. Flores, col. 5 lines 11-14 and col. 7 line 63-col. 8 line 6; executable functions are created from workflow scripts); and

creating a workflow to be executed on the workflow server engine, as a portion of a business rule response to the events and creating a conditional event rule associated with the workflow, said workflow triggered by the executable function in response to receipt of an event from the event source via a callback to enable correction of data structure in response to a workflow failure (see e.g. Flores, fig. 2a items 13 and 15, fig. 3 item 43, col. 3 line 62-col. 4 line 9 and col. 8 lines 7-30; business process workflows are created which activates a trigger event upon satisfying a conditional rule statement).

Although Flores discloses the invention substantially as claimed, it does explicitly disclose creating a workflow without modifying the workflow server engine.

However, Lynn teaches an enterprise-wide workflow processing system that creates workflow events without changing or recompiling the core workflow engine (see e.g. Lynn, col. 11 lines 55-57 and col. 28 lines 30-37). At the time of the invention it would have been obvious to one of ordinary skill in the art to combine the teachings of Lynn with that of Flores. Motivation for doing so would have been to develop an efficient and flexible business processes that allows the addition and creation of workflow events without changing the core system.

Regarding claim 2, Flores-Lynn teaches that the event definition includes an event id (see e.g. Flores, col. 8 lines 61-62).

Regarding claim 3, Flores-Lynn teaches, that the created workflow is associated with the event id so that the created workflow is executed in response to any event having the event id (see e.g. Flores, col. 12 lines 64-67 and col. 15 lines 25-30).

Regarding claim 5, Flores-Lynn teaches that the event definition includes a list of parameters associated with the event (see e.g. Flores, col. 4 lines 61-63).

Regarding claim 6, Flores-Lynn teaches that the at least one executable function is comprised of a dynamic link library (see e.g. Flores, col. 5 lines 59-62).

Regarding claim 7, Flores-Lynn teaches that the at least one executable function is designed to send an event to the workflow server engine (see e.g. Flores, col. 5 lines 9-23).

Regarding claim 8, the limitation of this claim has already been addressed (see claim 1 above). The same motivation utilized in the combination of claim 1, equally applies as well to claim 8.

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Regarding claim 9, Flores-Lynn teaches further comprising creating at least one rule for associating an event from the added event source with the workflow (see e.g. Flores, col. 23 lines 3-6 and col. 24 lines 57-63).

Regarding claim 11, Flores-Lynn teaches that the event definition includes at least one parameter, and that the created at least one rule includes the use of the at least one parameter (see e.g. Flores, col. 24 lines 65-67).

Regarding claim 12, Flores-Lynn teaches that a plurality of events are defined in the workflow database, the method further comprising categorizing the events into a plurality of event types (see e.g. Flores, col. 5 lines 53-56).

Regarding independent claim 14, the Claim lists all the same elements of claim 1, but in a subsystem form rather than source method form. Therefore, the supporting rationale of the rejection to claim 1 applies equally as well to claim 14. The same motivation utilized in the combination of claim 1, equally applies as well to claim 14.

Regarding claim 15, Flores-Lynn teaches that the dynamic link library creates a data structure for the defined event (see e.g. Flores, col. 5 lines 53-56).

Regarding claim 16, Flores-Lynn teaches that defining the event further comprises assigning an event id to the event (see e.g. Flores, col. 12 lines 64-67 and col. 15 lines 25-30).

Regarding claim 17, Flores-Lynn teaches that defining the event further comprises associating a plurality of parameters to the event (see e.g. Flores, col. 4 lines 61-63).

Regarding claim 18, Flores-Lynn teaches that the plurality of subsystems also have a plurality of associated events (see e.g. Flores, col. 15 lines 25-30).

Regarding claim 19, Flores-Lynn teaches further comprising exchanging events between different subsystems during the execution of the workflow (see e.g. Flores, col. 9 lines 15-40).

Regarding claim 20, Flores discloses an apparatus for executing a transaction task within a transaction processing (see e.g. Flores, fig. 3 and col. 4 line 48-col. 5 line 14; a workflow system is disclosed) comprising:

a plurality of event providers for providing a source of events to the transaction processing system (see e.g. Flores, fig. 3 items 39, 43 and col. 5 lines 15-23; system includes mechanism of providing and handling events through various modules);
a database with a workflow server application program interface that stores information relating to the events provided by the event providers and that triggers a business rule

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response to the event (see e.g. Flores, Fig. 6 item 51, col. 5 lines 20-23 and col. 9 lines 41-52; the workflow system includes database for storing workflows events and trigger conditions that are responsive to an event) a workflow server engine for executing workflows, said workflows triggered in response to receipt of events from the plurality of event providers and configured to return a result to the event source via a callback to enable correction of data structure in the event of workflow failure (see e.g. Flores, fig. 2a items 13 and 15, fig. 3 item 43, col. 3 line 62-col. 4 line 9 and col. 8 lines 7-30; business process workflows are created which activates a trigger event upon satisfying a conditional rule statement) and a workflow editor for creating and editing workflows to be executed on the workflow server engine (see e.g. Flores, fig. 3 item 37; workflow updater is responsible for updating the workflow server whether it is additions or modification updates).

Although Flores discloses the invention substantially as claimed, it does explicitly disclose creating a workflow without modifying the workflow server engine.

However, Lynn teaches an enterprise-wide workflow processing system that creates workflow events without changing or recompiling the core workflow engine (see e.g. Lynn, col. 11 lines 55-57 and col. 28 lines 30-37). At the time of the invention it would have been obvious to one of ordinary skill in the art to combine the teachings of Lynn with that of Flores. The same motivation utilized in the combination of claim 1, equally applies as well to claim 20.

Regarding claim 21, Flores-Lynn teaches further comprising:

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a new event provider (see e.g. Flores, fig. 3 items 39, 43 and col. 5 lines 15-23); a dynamic link library associated with the new event provider for allowing the new event provider to provide events to the workflow server engine (see e.g. Flores, col. 5 lines 59-62).

Regarding claim 22, the limitation of this claim has already addressed above (see claim 20). The same motivation utilized in the combination of claim 20, equally applies as well to claim 22.

Regarding claim 23, Flores-Lynn teaches that the transaction processing system collects step execution information (see e.g. Flores, col. 5 lines 20-23).

Regarding claim 24, Flores-Lynn teaches that the collected information includes information relating to the number of times a branch was executed by the workflow server engine (see e.g. Flores, fig. 3 item 71 and col. 6 lines 27-31).

Regarding claim 25, Flores-Lynn teaches that the collected information includes information relating to the step execution time for at least one step executed by the workflow server engine (see e.g. Flores, col. 5 lines 9-23).

Claims 10 and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Flores in view of Lynn, and further in view of Du et al. (Du), U. S. Patent No. 6078982.

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Regarding claim 10, Flores in view of Lynn discloses the invention substantially as claimed however; they do not explicitly disclose locking mechanism for keeping the consistency of the workflow process.

Du teaches workflow management system that utilizes locking mechanism for allowing consistent and current workflow execution process (see fig. 9, col. 2 lines 32-49 and col. 9 line 44- col. 10 line 4). At the time of the invention it would have been obvious to a person of ordinary skills in the art to combine the teachings of Flores in view of Lynn with that of Du. Motivation for doing so would have been to produce workflow process execution that is consistent, correct, current, efficient and flexible (see Du, col. 1 lines 44-46).

Regarding claim 13, although Flores-Lynn discloses the invention substantially as claimed, it does not explicitly disclose maintaining a sorted list of currently loaded event workflow and searches the sorted workflow events.

Du teaches a queue manager that keeps track of events workflow, process instances and log of the workflow process execution (see fig 4 and col. 6 line 47-col. 7 line 33).

At the time of the invention it would have been obvious to a person of ordinary skills in the art to combine the teaches of Flores in view of Lynn with that of Du. Motivation for doing so would have been to monitor and keep track of the execution processes of various workflow events.

Response to Arguments

4. Applicant's arguments with respect to claims 1-3 and 5-25 have been considered but are moot in view of the new ground(s) of rejection.

It is the Examiner's position that Applicant has not yet submitted claims drawn to limitations, which define the operation and apparatus of Applicant's disclosed invention in manner, which distinguishes over the prior art. Applicant has had an opportunity to amend the claimed subject matter, and has failed to modify the claim language to distinguish over the prior art of record by clarifying or substantially narrowing the claim language. Thus, Applicant apparently intends that a broad interpretation be given to the claims and the Examiner has adopted such in the present and previous Office action rejections. See *In re Prater and Wei*, 162 USPQ 541 (CCPA 1969), and MPEP 2111. Failure for Applicant to significantly narrow definition/scope of the claims and supply arguments commensurate in scope with the claims implies the Applicant intends broad interpretation be given to the claims. The Examiner has interpreted the claims with scope parallel to the Applicant in the response, and reiterates the need for the Applicant to more clearly and distinctly define the claimed invention.

Prior Art of Record

5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Please refer to form PTO-892 (Notice of Reference Cited) for a list of relevant prior art.

Conclusion

6. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MOHAMED IBRAHIM whose telephone number is (571)270-1132. The examiner can normally be reached on Monday through Friday from 7:30AM to 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William C. Vaughn, Jr. can be reached on 571-272-3922. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/MI/

/John Follansbee/

Supervisory Patent Examiner, Art Unit 2151